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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **18638-04-0172-01**First Inventor **Brown**
Title **Combination of Financial
Instruments and Method**Express Mail Label No. **EV 260286544 US****APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:
Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

- Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- Applicant claims small entity status.
- Specification [Total Pages 11]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (*if filed*)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
- Oath or Declaration [Total Sheets 7]
 - New, executed (original or copy) run
 - Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional with Box 18 completed)*
 - DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- Application Data Sheet. See 37 CFR 1.76

- CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (*if applicable, all necessary*)
 - Computer Readable Form (CRF)
- Specification Sequence Listing on:
 - CD-ROM or CD-R (2 copies); or
 - Paper
- Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- Assignment Papers (cover sheet & document(s))
- 37 CFR 3.73(b) Statement Power of Attorney (*when there is an assignee*)
- English Translation Document (*if applicable*)
- Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
- Preliminary Amendment
- Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
- Certified Copy of Priority Document(s) (*if foreign priority is claimed*)
- Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation Divisional Continuation-in-part (CIP) of prior application No.:

Prior application information:

Examiner _____

Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS Customer Number: _____ OR Correspondence address belowName **Daniel H. Golub**
Address **1701 Market Street**City **Philadelphia** State **PA** Zip Code **19103**
Country **USA** Telephone **215-963-5091** Fax **215-963-5001**Name (Print/Type) **Alison B. Weisberg** Registration No. (Attorney/Agent) **45,206**
Signature **Alison B. Weisberg** Date **1/23/04**

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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January 23, 2004

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Re: New U.S. Patent Application for
“Combination Of Financial Instruments And Method For
Implementing Investment Strategy”
Attorney Docket No. 018638-04-0172-01

Dear Sir:

Enclosed for filing in connection with the above-referenced invention are the following:

1. Utility Patent Application Transmittal (1 page);
2. Application including 11 pages of text (including 1 page of claims (2 claims total including 2 independent claims); 1 page of abstract) and 8 pages of drawings;
3. Combined Declaration and Power of Attorney (7 pages); and
4. Self-addressed stamped, return postcard.

EXPRESS MAIL CERTIFICATE (37 C.F.R. § 1.10)

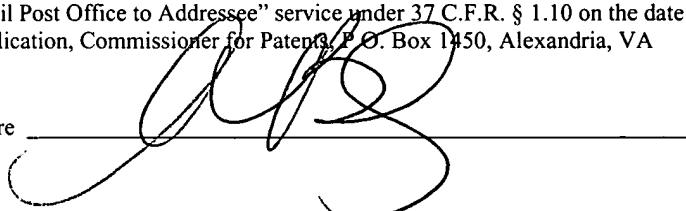
Express Mail Label No. EV260286544US

Date of Deposit January 23, 2004

I hereby certify that this paper, and the papers and/or fees referred to herein as transmitted, submitted or enclosed, are being deposited with the U.S. Postal Service “Express Mail Post Office to Addressee” service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Name Alison B. Weisberg

Signature



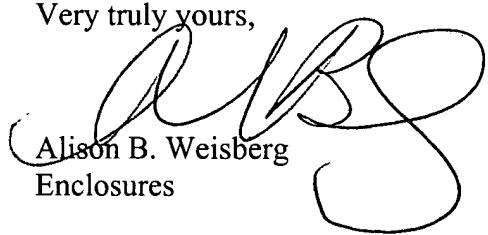
Commissioner for Patents
January 23, 2004
Page 2

Morgan Lewis
COUNSELORS AT LAW

Kindly acknowledge receipt of these documents by returning the enclosed self-addressed stamped postcard to the undersigned.

The Commissioner is hereby authorized to charge any fees required in connection with this filing or credit any overpayment to Deposit Account No. 50-0310. A duplicate of this authorization is enclosed.

Very truly yours,



A handwritten signature in black ink, appearing to read "ABW".

Alison B. Weisberg
Enclosures